

Department of Human Resources
Division of Mental Health, Mental
Retardation, and Substance Abuse Services
ADMINISTRATION

RECORDS RETENTION AND
DISPOSITION SCHEDULE
FOR
STATE AND AREA FACILITIES

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RECORDS RETENTION AND DISPOSITION SCHEDULE

FOR STATE AND AREA FACILITIES

1. Purpose. The purpose of this manual is to provide facilities operated by the Division of Mental Health, Mental Retardation, and Substance Abuse Services, and Area Programs and their contract agencies with a schedule for records retention and disposition. The schedule was developed by the Division of Mental Health, Mental Retardation, and Substance Abuse Services, Department of Human Resources and the Division of Archives and History, Department of Cultural Resources.
2. Scope. This schedule applies to psychiatric hospitals, mental retardation centers, alcoholic rehabilitation centers, Wright School, Whitaker School, N.C. Special Care Center, and area programs and their contract agencies.
3. References. North Carolina General Statutes 121 and 132 govern the retention and disposition of public records. The Department of Cultural Resources, Division of Archives and History, has the statutory responsibility of working conjointly with state agencies in developing a workable schedule for the retention and disposition of records of all kinds.

Records Retention and Disposition Schedule

For State and Area Facilities

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina it is agreed that the records of the

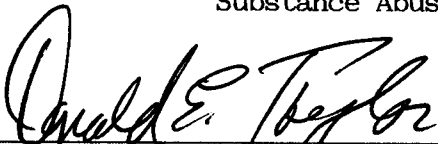
STATE FACILITIES, AREA PROGRAMS, OR CONTRACT AGENCIES do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N. C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including machine readable records not listed in this schedule are not authorized to be destroyed.** The

NORTH CAROLINA DEPARTMENT OF HUMAN RESOURCES agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



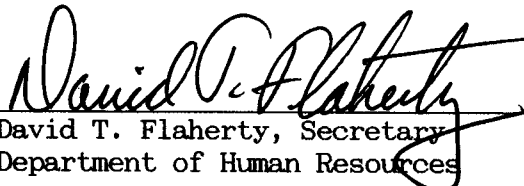
Sarah Brooks, Chief, Client Information Branch
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Substance Abuse Services



Donald E. Taylor, Director
Division of Mental Health, Mental
Retardation, and Substance Abuse Services

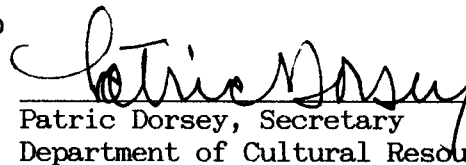


William S. Price, Jr., Director
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APPROVED



Patric Dorsey, Secretary
Department of Cultural Resources

June 1, 1989

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ABOUT THIS PUBLIC RECORDS SCHEDULE

RECORDS MANAGEMENT. Chapter 132-8.1 of the General Statutes of North Carolina establishes, in part, that, "It shall be the duty of the head of each State agency and the governing body of each county, municipality and other subdivision of government to ...establish and maintain an active, continuing program for the economical and efficient management of the records of said agency, county, municipality, or other subdivision of government."

The records retention and disposition schedule is the foundation of the records management program for state facilities, area programs, and contract agencies who report to the Division of Mental Health, Mental Retardation, and Substance Abuse Services. The records described herein reflect those found in the majority of those offices.

PUBLIC RECORDS DEFINED. Chapter 132 of the General Statutes of North Carolina states as follows: "Public record or public records shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed, institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government." However, in accordance with G.S. 131E-95 and 122C-52, client records are considered confidential and consequently are not available to public access.

WHAT THE SCHEDULE IS. This records retention and disposition schedule supersedes and replaces all other schedules written by the Division of Archives and History concerning mental health, mental retardation, and substance abuse records. It contains a listing of most of the records maintained in the offices of state facilities, area programs, and contract agencies with instructions for their retention and disposition. All provisions of this schedule remain in effect until the schedule is officially amended. Errors and omissions do not invalidate this schedule or render it obsolete. So long as the schedule remains in effect, destruction or disposal of records in accordance with its provisions shall be deemed to meet the provisions of G.S. 121-5(b). It is a general schedule and does not identify every record created or maintained in every state facility, area program, or contract agency. Likewise, all records listed are not kept in every unit of a state facility, area program, or contract agency. Consequently, the listing of a particular record does not require that it be kept.

DESIGNATION OF CUSTODIAN(S). State facilities operated by the Division of Mental Health, Mental Retardation, and Substance Abuse Services and Area Programs and their contract agencies are responsible for ensuring implementation of this schedule and shall delegate responsibility for such implementation to person(s) within the agency deemed most appropriate.

CHANGING THE SCHEDULE. Additions, deletions, or changes in the retention period may be requested by completing and sending Form RC-3C (see page 36) to the Records Services Branch, Division of Archives and History. See the instructions on the form for more information.

RETENTION PERIOD MANDATORY. Public records may not be destroyed earlier than the time set forth in the records schedule without specific approval of the Department of Cultural Resources.

EARLY DISPOSAL OF RECORDS. Custodians desiring to dispose of records earlier than specified in this schedule must request in writing the concurrence of the Department of Cultural Resources as required by G.S. 121-5.

PERMANENT RECORDS. Records scheduled for permanent preservation, even after being microfilmed, must never be destroyed without specific written permission of the Department of Cultural Resources. This disposition schedule constitutes such permission.

PROTECTING PUBLIC RECORDS. Whenever public records are transferred to the State Records Center, they shall remain in the legal custody of the governmental agency where they were created or collected in the course of public business. Such records are released only to the legal custodian or upon authorization of the legal custodian. Records are disposed of only when and as specified in this public records schedule.

The Chief, Client Information Branch for the Division of Mental Health, Mental Retardation, and Substance Abuse Services will be notified prior to the destruction of any records maintained by the State Records Center and such records shall be destroyed only upon written authorization of the Chief, Client Information Branch.

CUSTODIAN'S RESPONSIBILITIES. Public records shall never be given to private or semipublic organizations or to individuals. The attorney general has ruled it illegal for an official to transfer records to an historical association or society. To ensure compliance with Chapters 121 and 132 of the General Statutes of North Carolina, only the retention and disposition instructions in this schedule shall be used.

FEDERAL GOVERNMENT REQUIREMENTS. In the event that a federal legal requirement, statute, or program requires that a record be kept longer than specified in this schedule, the longer retention period shall be applied. Please notify the Chief, Client Information Branch in such cases.

METHODS OF DESTRUCTION. Public records scheduled to be destroyed must not be permitted to fall into unauthorized hands. Confidential records scheduled for destruction shall be burned; otherwise, shredding, pulping, or burial under dirt rather than merely dropping the records into a hole shall be used. Non-confidential records may be destroyed by removal in trash cans or bins. When in doubt, destroy records as though they are confidential.

DESTRUCTION PROCEDURES. Custodians may destroy records in their custody after the retention periods in this schedule have been fulfilled without further approval from, or reference to, the Department of Cultural Resources. In accordance with this schedule, state facilities operated by the Division of Mental Health, Mental Retardation, and Substance Abuse Services are authorized to destroy records in their custody without additional approval. Area programs and contract agencies must obtain approval of the governing board, normally the area board, for the destruction of records. Such approval may be granted through the adoption of this schedule by the governing body.

Records eligible for destruction at the State Records Center will be destroyed by the Records Center staff after receiving concurrence in the destruction from the concerned state facility, area program, or contract agency. All requests for concurrence will be forwarded to the Chief, Client Information Branch, for processing.

RECORDING RECORDS DESTRUCTION. The destruction of public records shall be recorded in some permanently preserved document such as a records destruction register. The record shall include the description and quantity of each record or record series disposed of, inclusive dates of the records, and the date of destruction.

DESTRUCTION OF ORIGINAL RECORDS THAT HAVE BEEN DUPLICATED. Original records that have been duplicated on microfilm, microfiche, data processing equipment, word processing equipment, or other form may be destroyed prior to the specified retention period and without specific approval from the Department of Cultural Resources, provided the following three conditions are met:

1. The duplicate copy of the information contained in the original record is maintained for an approved specified time established by the Department of Cultural Resources.
2. The original records have not been scheduled for permanent preservation.
3. The governing body has agreed to the destruction of the original records and the destruction is recorded in a permanent record such as a records destruction register.

DESTRUCTION OF DATA PROCESSING RECORDS. Computer printouts and other data processing input/output may be destroyed without specific authorization and recording, provided the following conditions apply:

1. The information is retained on magnetic media (e.g., magnetic tape, diskettes, etc.) and the media are scheduled in an approved records retention and disposition schedule prepared and approved by the Department of Cultural Resources.
2. The output copy is not specifically listed and scheduled in this records retention and disposition schedule.

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DESTRUCTION OF RECORDS NOT LISTED IN THIS SCHEDULE. One-time destruction of an accumulation of an unscheduled or a discontinued records series should be referred to the Department of Cultural Resources for authorization. A form for this purpose appears on page 37.

DESTRUCTION OF MACHINE READABLE RECORDS. Video tapes, audio tapes, and electronic data/word processing records (tapes, disks, input/output records, etc.) are public records and are governed by G.S. 121-5. Unless they are specifically listed in this records retention and disposition schedule they must not be erased/destroyed without the concurrence of the Department of Cultural Resources. Concurrence may be granted for records not listed in this schedule by completing and submitting the "Request for Disposal of Machine Readable Records" (refer to page 38) to the Department of Cultural Resources.

TRANSFERRING RECORDS TO THE STATE RECORDS CENTER. Some records listed in this document are scheduled for transfer to the State Records Center because of their continuing administrative or research value beyond current activity in the division. The schedule tells which records may be sent, how long the records are to be kept, when they should be sent to the State Records Center, and how long they are to be held there.

If you have a minimum of at least one (1) cubic foot of records which are eligible for transfer to the State Records Center, please do the following:

1. Call the Records Center Supervisor at (919) 733-3891.
2. Give your name, agency, division, section, unit name, telephone number, and complete address.
3. Give the unique computer identification number that has been assigned to the records series. If you are transferring a records series that has not been previously transferred, ask that a unique computer identification number be assigned.
4. Give the schedule reference (page and item number) of the records series you plan to transfer which is included in this RECORDS RETENTION AND DISPOSITION SCHEDULE.
5. Give the number of boxes that you need. NOTE: Only State Records Center boxes, tape and labels may be used.

After you call the Records Center Supervisor, he will prepare the "Records Transfer Request" and box labels. These, along with the boxes and instructions on how to box the records, will be delivered to facilities in Raleigh by Records Center personnel or other facilities by state courier service.

After you receive the boxes, you should complete items 7, 12, and 13 on the "Records Transfer Request." When your boxes are ready for transfer to the State Records Center, bring the "Records Transfer Request" to the Record Center Supervisor with the records, 215 N. Blount Street, Raleigh, N. C. Facilities

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must arrange to have the boxes transported to the State Records Center. Please telephone the Records Center Supervisor at (919) 733-3891 and give him the details of the transfer at least two days before the records are shipped.

CONFIDENTIALITY OF STORED RECORDS. All records stored in the State Records Center remain in the legal custody of the creating office. Records will not be released to any other agency or to the public without prior authorization of the legal custodian.

State Records Center personnel who have access to any record must sign a written statement detailing the consequences of divulging any information about any record stored in the State Records Center.

HOW TO BOX RECORDS FOR TRANSFER TO THE RECORDS CENTER. Please do the following when you box records for storage in the State Records Center:

1. Fold and tape bottoms of boxes. Turn short flaps in first, then long flaps. Tape with 3-inch wide paper sealing tape furnished by the Records Center. (DO NOT USE SCOTCH TAPE.)
2. Place records in boxes in the upright position and in the same order as they were arranged in the file drawer. Leave the records in their file folders. Pack firmly but allow about three inches of free play in the back of the box.
3. Stand letter size folders the 12-inch way from front to rear of the box. Stand legal size folders the 15-inch way from right to left side of box. (Refer to diagram on Page 6).
4. Place the records of each series in boxes separate from other records with different schedule references.
5. Labels are pre-typed for you. Fill in information below dotted line with ball point or felt tip pen.

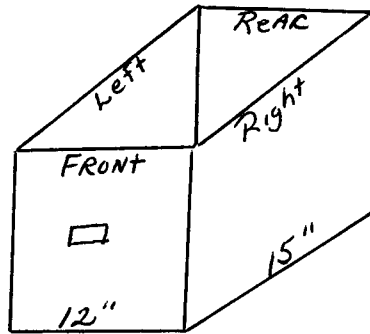
Agency
Division or Section
Records Series Title as Shown in Schedule

Dates of Records
Number or Letter of Beginning and Ending Folders
Box No. _____ of _____

6. Stick the label in the center of the front 12-inch end of all boxes. Ledger box (15"W x 19"L x 11"H) users must stick the label to center long (19") side of box. Number all boxes consecutively within each series to show correct box sequence. Write the number on the label.

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EXAMPLE: Box 1 of 50



7. Close boxes before they are sent to the Records Center by tucking flaps in alternately over and under each other. DO NOT TAPE TOP OF BOX.
8. For help, please call (919) 733-3891. Ask for the Records Center Supervisor.

OBTAINING REFERENCE SERVICE ON RECORDS IN THE STATE RECORDS CENTER. Reference service on records stored in the State Records Center may be obtained by one of the following methods:

- a. Priority, emergency, or routine requests may be requested by telephoning (919) 733-3891. Routine requests will be filled within 24 hours and returned to your agency via interoffice mail, State Courier Service, or U. S. Mail.
- b. Minor data or information from records may be requested to be telephoned to the requestor. Please indicate if you want to be called when you make your request.
- c. Personal visits to the State Records Center for pick up of records should be preceded by telephoning (919) 733-3891 and making an appointment.

Requests for service on stored records must include the following:

The requestor's name.

The name of your agency, division, section, and unit.

The requestor's complete address.

The requestor's telephone number.

The title of the records series as it appears in this records schedule.

The name or number of the record you need.

The date of the record.

The records schedule **page and item number** listing the records series requested.

The records series **computer identification (I.D.) number**.

The box series number, if applicable.

RECORDS MANAGEMENT WORKSHOPS

TECHNICAL AND PROFESSIONAL TRAINING. Staff training helps to make a good agency records management program better. The records management workshops listed below are available to all governmental agencies and can be presented at your office. At least 25 people should be scheduled to attend before an agency outside of the Raleigh area requests a workshop be held on their premises. Records Services Branch workshops are free; however, when we travel to a county or regional office to conduct workshops, we ask that agencies reimburse our section with the current cost per mile for a state vehicle and to pay the current per diem rates for our instructors when overnight travel is involved.

MICROGRAPHICS AND GOVERNMENT RECORDS. The Records Services Branch provides a one-day workshop (2 hours when presented locally) presenting information about the various microforms available in the industry today. The workshop includes information on micrographic principles, technology and production, state technical standards, procedures to ensure the legal admissibility of microforms, and micrographic systems and equipment. Also included is a basic introduction to quality controls, suggested specifications for vendor services, state technical standards for in-house operations or micrographic services provided by vendors, and choosing and implementing a micrographic system.

This course is designed for state, county, and municipal government agencies with existing in-house systems, for microfilm operators and supervisors who perform or supervise source document microfilming, and for those who are interested in developing or maintaining micrographic systems.

STRAIGHT TALK ABOUT CONVERTING TO MICROFILM. The Records Services Branch presents a one-hour presentation in plain language about what microfilming can and cannot do for recordkeeping in an agency, what is involved in planning for equipment and services, what can be expected from the system, and what is involved in getting ready to convert. Also included is an explanation of terms, a description of the basic components needed for a system (what they will and will not do), personnel and production considerations, questions to ask before ordering anything, and an opportunity to have questions answered by an unbiased source.

This course is designed for supervisors and staff personnel in agencies considering converting to microfilm or who are thinking about purchasing a microfilm system.

RECORDS DISPOSITION. The Records Services Branch conducts a one-hour workshop presenting the management methods and procedures for controlling, through the use of records retention and disposition schedules, the active and inactive records in county, state, and municipal government offices. Included is information on pertinent laws, identifying record and nonrecord documents and materials, protecting essential records, determining historical and other record values, disposition procedures, and the relationship of disposition to other records management activities.

This course is designed for all management, staff, and clerical levels in county, municipal, and state government agencies engaged in controlling the growth of paperwork.

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EFFECTIVE WRITING. The Records Services Branch provides a five-hour workshop presenting a common-sense system for writing letters and memorandums that are easy to read and understand. This is not a course in grammar but a combination of dos and don'ts, examples, and classroom exercises in writing. The instruction emphasizes the use of shortness, simplicity, strength, and sincerity to produce clear, plain, sensitive, and informative letters.

This course is designed for managers, upper level staff, and supervisors of programs or activities in which corresponding and reviewing the correspondence prepared by others is part of the workload. The workshop may also be used to prepare agency members to instruct others in their agency in effective, simple, letter-writing techniques.

FILES AND FILING. The Records Services Branch conducts a two-hour workshop presenting the step-by-step procedures for organizing and maintaining files to establish an efficient, easy-to-use system. The workshop includes instruction on the following subjects: ordering and using the correct supplies; organizing files by the function they perform; color-coding files to increase retrieval speed and reduce misfiles; eliminating the "General", "Miscellaneous", and "Alphabetical" files; and in general, creating a filing system in which all office personnel can quickly and easily find information.

This training is designed for personnel who perform or supervise filing operations and for anyone desiring something better than a strictly alphabetical filing system.

LEGAL AND ETHICAL RESPONSIBILITIES. The Records Services Branch conducts a one and one-half hour presentation concerning legal and ethical considerations regarding the creation, use, and disposal of records. The presentation specifically covers public access to records, the protection of essential records, disposition procedures, and the determination of appropriate retention periods. In particular, the session stresses the legal and ethical considerations involved in maintaining records and the use of records management to reduce liability to frivolous litigation.

The presentation is designed for all administrators who are concerned about legal matters such as the hiring and firing of employees; disciplinary actions; the proper protection of the rights of clients, employees, and the public; and frivolous litigation initiated against the office concerned.

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DISASTER ASSISTANCE IS AVAILABLE

Throughout our state's history, state, county, and municipal records have been vulnerable to accidents and natural disasters. Even with modern facilities and improved security and protective measures, public records still are susceptible to fire and water damage, and several disasters involving public records have occurred in other states during recent years. The most common form of disaster has been fire (usually occurring at night or during a weekend). In these instances, valuable and often irreplaceable records that escaped the flames were ruined by water and mud resulting from firefighting. In every case, many records that were irreparably damaged could have been saved if state and local officials had known what to do with damaged records and had acted promptly.

In order to help state, county, and municipal agencies cope with fires, floods, and other disasters involving records, the North Carolina Division of Archives and History has formed a Disaster Preparedness Team. Upon request, members of this team will advise local officials in the retrieval of damaged records. When possible, they will also provide further assistance upon request.

What should you do when a disaster has left you with damaged records? These are the steps to take after the disaster has ended and the question of what to do with the damaged records has to be faced. The first and most important step to take is to notify the Division of Archives and History at (919) 733-3952 immediately. [During the nights or weekends, call (919) 469-8176.] Next, secure the area containing records as soon as possible. Don't let anyone but firefighting or other safety personnel into the area. Next, ventilate the area as much as possible. This will delay the growth of mold and make the salvage and restoration of records easier. Finally, and most important - **DO NOT LET ANYONE REMOVE OR ATTEMPT TO CLEAN RECORDS.** Damaged records are fragile and attempts to move or clean them may cause unnecessary destruction. Trained personnel normally will be on the scene within hours, and they will direct recovery of records.

If client records have been damaged or destroyed, contact the Chief, Client Information Branch in the division at (919) 733-4460 immediately.

MICROFILM

ADVANTAGES. Microfilm is an economical and practical means of preserving a security copy of essential records, and it is used increasingly by government agencies to eliminate the problem of excess paper.

LEGAL AUTHORITY AND ACCEPTANCE. Legal authority for microfilming county records is contained in G.S. 153A-436. This statute provides that the method of reproduction must give legible and permanent copies and that the reproduction of the public records must be kept in a fire-resistant file, vault, or similar container.

G.S. 8-45.1 and 153A-436 provide that microfilm copies of public records shall be admissible as evidence in the courts and administrative agencies of the state.

To ensure uniformity and legal acceptability in microfilmed records, certain forms, targets, and procedures should be used when microfilming public records. The Division of Archives and History has published Micrographics: Technical and Legal Procedures to aid state, county, and municipal agencies in producing good quality microfilm which meets all legal requirements. Microfilming done by an agency operated by the Division of Mental Health, Mental Retardation, and Substance Abuse Services and Area Programs and their contract agencies shall be in accordance with these technical standards before any original public records are destroyed.

TECHNICAL STANDARDS. Certain technical standards must be met to assure quality microforms that are readily reproducible and, where necessary, capable of permanent preservation. The following four basic groups of standards establish criteria for microfilm to be of archival or permanent quality: the standards for the manufacture of raw film; the standards affecting the method of filming in order to produce good overall results; the standards involved in processing (developing) microfilm; and the standards for the storage of processed microfilm. These standards are listed and explained in the Division of Archives and History's publication, Micrographics: Technical and Legal Procedures.

SERVICES AVAILABLE. The Division of Archives and History offers free microfilming of records scheduled for permanent preservation for historical reasons. Agencies with small volumes of records may bring their records to Raleigh to be microfilmed while records which cannot be removed from the office can be microfilmed by camera operators sent into the counties. This silver original (camera) film will be stored in the division's environmentally-controlled vault for security.

Micrographic feasibility studies are provided, on request, to help agencies determine the most cost-effective micrographic system to meet their particular needs. Evaluations of existing micrographic applications are performed to ensure that microfilm meets the state technical standards and is of archival quality.

Agencies microfilming their own records should send the silver original (camera) film of all permanent records and any security copies of microfilm as specified in this retention schedule to the Division of Archives and History to be stored in the security vault. The duplicate film can be used in the office as the working copy.

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STANDARD-1 ADMINISTRATIVE AND MANAGEMENT RECORDS**a. ADMINISTRATIVE CORRESPONDENCE**

DISPOSITION INSTRUCTIONS: Review annually and transfer Director's (or his equivalent's) correspondence over 5 years old to the State Records Center. Records will be held for agency in State Records Center 5 additional years and then transferred to the custody of the Archives. The Archives will review and destroy records with no historical value. **Destroy remaining records in the office after 5 years.**

b. ADMINISTRATIVE BYLAWS, DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES

DISPOSITION INSTRUCTIONS: Retain 1 copy in the office permanently. Destroy other copies in the office when administrative value ends.

c. CONFERENCE AND WORKSHOP RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

d. DISASTER RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when updated or superseded.

e. HISTORICAL DATA CONCERNING AREA OR STATE FACILITIES

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. The Archives will review and destroy records with no historical value.

f. INFORMATION CONCERNING OTHER STATES' OR COUNTIES' MENTAL HEALTH PROGRAMS

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

g. AGENDAS, MINUTES, ATTACHMENTS, AND SUPPORTING DOCUMENTSDISPOSITION INSTRUCTIONS:

1. Agendas, minutes, and attachments referenced in the minutes for all official administrative (e.g., Area Board) and clinical (e.g., Quality Assurance Committee) meetings shall be maintained as follows:

- (a) Following each meeting, facilities may routinely send to the State Records Center a copy (not the original) of the meeting agenda, a signed copy of the minutes, and official attachments. These copies will be stored for security purposes and will be destroyed whenever the minutes are microfilmed.
- (b) Facilities may periodically transfer the original documents to the State Records Center to be microfilmed for permanent security storage in the Archives vault or microfilm the documents at the facility. For documents microfilmed at the State Records Center, the State Records Center will return the originals after they are microfilmed. Retain microfilmed records in office permanently.

- (c) Transfer original documents, which have been microfilmed, to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. The Archives will review and destroy records with no historical value.

2. Destroy supporting documents (e.g., utilization review worksheets, audit worksheets, client record review worksheets, etc.) in office when administrative value ends, when released from all audits/reviews (e.g., Certification review, Joint Commission on Accreditation of Healthcare Organizations review, Health Care Financing Administration review) or within 3 years, whichever occurs later.

h. PLANNING AND DEVELOPMENT RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends and within 5 years, whichever occurs sooner.

i. **PROGRAM(S) RECORDS** - Files concerning authorized programs and specialized activities conducted within a facility, program, or contract agency with all correspondence, working papers, and other documents supporting the activity or program. Information includes programs concerning dentistry, pharmacy, dietary, rehabilitation services, residency units or cottages, education services, recreation, volunteer services, chaplaincy, x-ray, and all other programs in the facility.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

j. RESEARCH AND STUDIES (Administrative)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends but within 5 years, whichever occurs sooner.

k. **REPORTS** - All reports issued or received by the facility, program, or contract agency documenting or evaluating administrative and program performance and accomplishments. File may include annual reports, statistical reports, biennial reports, monthly reports, population and census reports, budget and fiscal reports, special reports, and all other reports submitted to or received from the Division of Mental Health, Mental Retardation, and Substance Abuse Services (Raleigh office), other hospitals and institutions, the Department of Human Resources and its divisions, local or county centers or units, and the federal government.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

1. STATISTICAL REPORTING FORMS (and other information used in preparing official reports)

DISPOSITION INSTRUCTIONS: Destroy in office 6 months after keyed into computer or after preparation of data reports, or when released from all audits, whichever occurs later.

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STANDARD-2 BUDGET AND FISCAL RECORDS**a. AMBULANCE SERVICE BILLS AND RECORDS**

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

b. ANNUAL BUDGET

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

c. ALLOTMENTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

d. AUDIT REPORTS

DISPOSITION INSTRUCTIONS: Retain 1 copy of each audit report in office permanently. Destroy in office other copies when administrative value ends.

e. AUTHORIZATION FORMS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

f. BANK STATEMENTS, CANCELLED CHECKS, DEPOSIT SLIPS, AND RECONCILIATIONS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

g. BIDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

h. BILLING FORMS/CLAIM FORMS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

i. CASHIER'S DAILY REPORTS AND RECEIPTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

j. CASHIER'S LEDGER CARDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

k. CASHIER'S VOUCHERS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

l. CHECKS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

m. ELIGIBILITY DETERMINATION FORMS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

n. FISCAL CORRESPONDENCE

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

o. INSURANCE BILLINGS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

p. INVENTORIES

DISPOSITION INSTRUCTIONS: Correct annually. Destroy in office superseded records when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

q. JOURNALS, LEDGERS, AND REGISTERS (Financial)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

r. LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

s. LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

t. MEDICARE SUPPLY REPORTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

u. MONTHLY FINANCIAL REPORTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

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v. PAID INVOICES/VOUCHERS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

w. PATIENT ACCOUNTS JOURNALS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

x. PATIENT FINANCIAL RECORDS (Active Clients)

DISPOSITION INSTRUCTIONS: Transfer to Patient Financial Records file (Discharged and Deceased clients) when individual dies or is discharged.

y. PATIENT FINANCIAL RECORDS (Discharged and Deceased Clients)**1. Paid Accounts Folder**

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

2. Unpaid Accounts Folder

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

3. Unpaid Accounts Folder - Deceased Clients

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

4. Unpaid Accounts with No Lien Against the Account

DISPOSITION INSTRUCTIONS: Destroy in office when legal value ends.

z. PATIENT MAINTENANCE ACCOUNT LEDGER CARDS**1. Active Accounts Receivable**

DISPOSITION INSTRUCTIONS: Transfer to Inactive Accounts Receivable File when designated inactive.

2. Inactive Accounts Receivable File

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

aa. PATIENT RECEIPTS

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

bb. PATIENT TRUST FUND (PERSONAL)ACCOUNTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

cc. PATIENT WORKING FUND ACCOUNT

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

dd. PAYROLL RECORDS

1. Payrolls File - Information concerning salaries paid to permanent and temporary employees and working clients, if applicable.

DISPOSITION INSTRUCTIONS:

- a. Transfer administrative data documenting personnel actions to appropriate individual personnel files when actions are approved.
 - b. Destroy in office audit copies after 1 year and when released from all audits, whichever occurs later. Destroy in office reference copies after 1 year.
2. Payroll Deduction File - Information detailing deductions from each individual's salary. File concerns deductions for insurance, parking, and other obligations.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years or when released from all audits, whichever occurs later.

ee. PURCHASE ORDERS/REQUISITIONS AND SUPPORTING DOCUMENTS

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ff. RECEIPTS (Cash)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

gg. RETIREMENT, SOCIAL SECURITY, AND WITHHOLDING TAX RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

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hh. SALES TAX REPORTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

ii. TELEPHONE RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

jj. TIME REPORTS (Employees and working clients, if applicable)

DISPOSITION INSTRUCTIONS: Destroy in office 4 years after release of records from all audits.

kk. TRAVEL EXPENSE RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ll. VEHICLE MAINTENANCE RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

mm. VOUCHERS

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

nn. WORKING PAPERS (Fiscal)

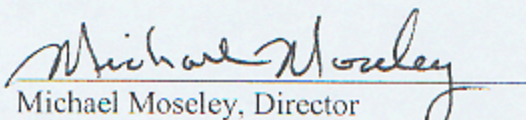
DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, when released from all audits or within 4 years, whichever occurs later.

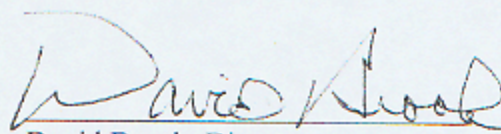
**RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT
FOR STATE AND AREA FACILITIES**

**STANDARD-3 CLIENT RECORDS
(State Facilities, Area Programs, Contract Agencies)**

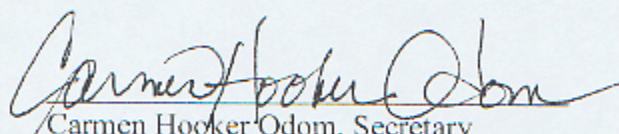
Amend the records retention and disposition schedule for State and Area Facilities (State Facilities, Area Programs, and Contracts Agencies) published June 1, 1989 by amending STANDARD-3. CLIENT RECORDS on substitute pages 18-21.

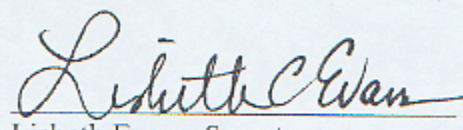
APPROVAL RECOMMENDED


Michael Moseley, Director
Division of Mental Health, Developmental
Disabilities, and Substance Abuse Services


David Brook, Director
Division of Historical Resources

APPROVED


Carmen Hooker Odom, Secretary
Department of Health and Human Services


Lisbeth Evans, Secretary
Department of Cultural Resources

ACKNOWLEDGED (AGREED TO COMPLY)

Director, Local Program/Local Management Entity

Name of Program: _____

October 1, 2004

County

STANDARD-3 CLIENT RECORDS **(State Facilities, Area Programs, Contract Agencies)**

RETENTION NOTE:

Storage Media

Medical records may be stored in a microfilm media or an imaging system. If an imaging system is used, the following shall be implemented (See Division of Historical Resources publication, *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems*):

- 1) Documentation about the system. Documentation is necessary for providing audit trails for establishing legal admissibility of images and for use of the system by future system operators. Documentation should include a) policies and procedures for all aspects of system operation and maintenance, including procurement, file and document preparation for scanning, data entry, quality control, indexing, corrections, expungement, redaction, back-ups, security, migration, application of safeguards to prevent tampering and unauthorized access and printing; b) system equipment specification c) description of all hardware and software upgrades to the system including date of maintenance and version of software; d) contact information for manufacturers and vendors; e) technical operation manuals; f) user operation manuals; policies and procedures related to access to and security of the records; h) any changes made to the system or the process.
- 2) Training. There should also be documentation to demonstrate that staff responsible for imaging has been trained to operate the system.
- 3) Integrity which includes the actual condition of the media storage device-has the media deteriorated, been scratched, exposed to extreme temperatures, etc. and the reliability of the record after compression or migration, i.e. after such events, has the appearance of the document been altered.
- 4) The intellectual integrity of a record is based upon the authenticity or truthfulness of the information within the record. A system should be in place for electronic records that validates access procedures and documents modification to the records over time.
- 5) Auditing. Periodic and random audits of the imaging system and records storage media should be conducted to ensure that the system is operating within the established records management expectations and that the data remains viable.
- 6) Access. General Statute 132-6.1 (b) requires that all databases be indexed. The index shall contain the following information: 1) a list of the data fields; 2) a description of the format or record layout; 3) information as to the frequency with which the database is updated; 4) a list of any data fields to which public access is restricted; 5) a description of each form in which the database can be copied or reproduced using the agency's computer facilities; and 6) a schedule of fees for the production of copies in each available form. (See Division of Historical Resources publication, *Public Database Indexing*)

Destruction of Records

The following conditions shall be met before the destruction of original records can be approved:

- a) The applicable records series must be scheduled with the Archives and Records Section through current records retention and disposition scheduling procedures.
- b) If an imaging system is used, the agency must satisfy the conditions noted above in section "Storage Media." If these conditions are met, the original records may be destroyed.

a. ADULT CLIENT RECORDS

DISPOSITION INSTRUCTIONS: Records of adult clients may be destroyed 11 years after the date of last encounter.

b. MINOR CLIENT RECORDS

DISPOSITION INSTRUCTIONS: Records of minor clients who are longer receiving services may be destroyed 12 years after the minor reaches age of majority (18 years of age).

c. ADMISSIONS REGISTER

DISPOSITION INSTRUCTIONS: Retain in office permanently.

d. CHEMICAL INDEX FILE. Index of laboratory inventory of chemicals.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

e. CONSULTATION, EDUCATION AND PREVENTION SERVICE RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

f. DEATH REGISTER

DISPOSITION INSTRUCTIONS: Retain in office permanently.

g. DIAGNOSTIC/OPERATIVE INDICES

DISPOSITION INSTRUCTIONS: Retain annual indices in office permanently. Destroy in office semi-annual indices after the annual indices are received.

h. DWI OR DRUG EDUCATION SCHOOL RECORDS

DISPOSITION INSTRUCTIONS:

Minors. Transfer to Adult File when minor reaches 18 years of age.

Adult. Transfer original records or security copy of microfilm to the State Records Center 5 years after completion of school. Records or microfilm will be held for agency in the State Records Center 10 additional years and then destroy.

i. ELECTROCARDIOGRAM TRACINGS

DISPOSITION INSTRUCTIONS:

Minors. Destroy in office 5 years after date minor reaches 18 years of age.

Adults. Destroy in office 5 years after date of tracing.

j. ELECTROENCEPHALOGRAPH TRACINGS

DISPOSITION INSTRUCTIONS:

Minors. Destroy in office 5 years after date minor reaches 18 years of age.

Adults. Destroy in office 5 years after date of tracing.

k. LABORATORY TEST REPORTS

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after the date of the laboratory test.

l. LABORATORY TICKLER FILE

DISPOSITION INSTRUCTIONS: Destroy in office upon discharge/termination or death of client.

m. MASTER CLIENT IDENTIFICATION FILE (MASTER CLIENT INDEX)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

n. NUMBER CONTROL REGISTER

DISPOSITION INSTRUCTIONS: Retain in office permanently.

o. PHARMACY CLIENT MEDICATION PROFILES

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

p. PHARMACY COPY OF PHYSICIAN MEDICATION ORDERS

DISPOSITION INSTRUCTIONS: Destroy in office after 90 days.

q. PHARMACY INPATIENT AND OUTPATIENT CONTROLLED SUBSTANCES RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

r. PHARMACY OUTPATIENT PRESCRIPTION RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

s. RAW TEST/EVALUATION DATA, PENDING AND SCREENING RECORDS

DISPOSITION INSTRUCTIONS:

Minors. Destroy in office 5 years after date minor reaches 18 years of age.

Adults. Destroy in office 5 years after date of report.

t. TICKLER FILE

DISPOSITION INSTRUCTIONS: Destroy in office upon discharge/termination or death of client.

u. VIDEOTAPES OF CLIENTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

v. WORKSHEETS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, but within 3 years.

w. X-RAY FILM AND FILE

DISPOSITION INSTRUCTIONS:

Minors. Destroy in office 5 years after date minor reaches 18 years of age.

Adults. Destroy in office 5 years after date of report.

Teaching/Interesting Film Files. Destroy in office when administrative value ends.

STANDARD-4 LEGAL RECORDS

- a. **CONTRACTS/AGREEMENTS FOR CONSTRUCTION, EQUIPMENT, PERSONAL SERVICES, AND SUPPLIES**

DISPOSITION INSTRUCTIONS: Destroy in office expired contracts 4 years after termination or expiration and when released from all audits, whichever occurs later.

- b. **CONTRACTS/AGREEMENTS WITH COUNTY OR AGENCIES**

DISPOSITION INSTRUCTIONS: Destroy in office expired contracts 4 years after termination or expiration and when released from all audits, whichever occurs later.

- c. **CONTRACTS/AGREEMENTS FOR SPECIAL PROGRAMS AND PROJECTS**

DISPOSITION INSTRUCTIONS: Destroy in office expired contracts 4 years after termination or expiration and when released from all audits, whichever occurs later.

- d. **COURT CASES**

DISPOSITION INSTRUCTIONS: Destroy in office 10 years after adjudication.

- e. **LEGAL CORRESPONDENCE**

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

- f. **INCIDENT REPORTS**

DISPOSITION INSTRUCTIONS:

Minors. Destroy in office 10 years after minor reaches 18 years of age.

Adults. Destroy in office 10 years after date of incident.

- g. **INSURANCE RECORDS**

DISPOSITION INSTRUCTIONS: Destroy in office policies 4 years after termination or expiration. Destroy in office remaining records when administrative value ends.

- h. **LEASES**

DISPOSITION INSTRUCTIONS: Destroy in office expired leases 4 years after termination or expiration and when released from all audits, whichever occurs later.

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STANDARD-5 OFFICE ADMINISTRATION RECORDS**a. BUILDING SPACE AND MAINTENANCE RECORDS**

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

b. EQUIPMENT AND SUPPLY RECORDS (Instructions, Inventories, Catalogs)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

c. FUND DRIVE RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

d. LISTS (Duty Roster, Personnel Locator)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

e. OFFICE ADMINISTRATION CORRESPONDENCE

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends but within 6 years, whichever occurs sooner.

f. OFFICE SECURITY RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

g. ORGANIZATION CHARTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

h. PARKING RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

i. PUBLICATIONS RECEIVED (Not medically/legally related)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends but within 2 years, whichever occurs sooner.

j. READING FILE - Reference copy of outgoing correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends but within 6 years, whichever occurs sooner.

k. RECORDS MANAGEMENT RECORDS

DISPOSITION INSTRUCTIONS:

1. Destroy in office documentation of records transferred to State Records Center after 5 years.
2. Retain disposition schedules and documentation of records destruction permanently.

1. VEHICLE REQUESTS

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

STANDARD-6 PERSONNEL RECORDS

- a. AFFIRMATIVE ACTION RECORDS** (Includes Applicant Selection/Rejection Forms)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years and when released from desegregation plan, whichever occurs later.

- b. AGGREGATE SERVICE HISTORY RECORDS**

DISPOSITION INSTRUCTIONS: Retain in office permanently.

- c. APPLICATIONS FOR EMPLOYMENT**

DISPOSITION INSTRUCTIONS: Transfer applications and other records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office applications and other records that are unsolicited and for individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

- d. CLASS SPECIFICATIONS**

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

- e. CORRESPONDENCE (PRE-EMPLOYMENT)**

DISPOSITION INSTRUCTIONS:

1. Destroy pre-employment correspondence in the office for individuals not hired after 2 years, if no charge of discrimination has been filed. If charge has been filed, destroy in office after resolution of charge.
2. Transfer pre-employment correspondence for individuals hired to appropriate personnel file when individual accepts position.

- f. DISCIPLINARY CORRESPONDENCE AND MEMORANDUMS**

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

g. EDUCATION EXPENSE RECORDS (REQUEST FOR REIMBURSEMENT)

DISPOSITION INSTRUCTIONS: Destroy in office 4 years after payment.

h. EMPLOYEE HEALTH RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after separation.

i. EQUAL EMPLOYMENT OPPORTUNITY RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

j. FRINGE BENEFIT PROGRAMS

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

k. GRIEVANCE RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office 4 years after final action.

l. GUIDELINES/PROCEDURES

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

m. INCREMENT SCHEDULES

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

n. INSURANCE ENROLLMENT FORMS AND CLAIMS

DISPOSITION INSTRUCTIONS: Destroy in office when coverage is terminated.

o. INTERVIEW SUMMARIES

DISPOSITION INSTRUCTIONS:

1. Destroy in office interview summaries for individuals not hired after 2 years, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.
2. Transfer interview summaries for individuals hired to appropriate personnel file when individual accepts position.

p. LEAVE REPORTS

DISPOSITION INSTRUCTIONS:

1. Destroy in office applications for leave 1 year from date submitted.
2. Destroy in office leave recapitulations 4 years after verification.
3. Destroy in office leave correspondence and memorandums after 5 years.
4. Destroy in office educational leave forms and correspondence after 5 years.

q. LEGISLATIVE SALARY INCREASE RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

r. LONGEVITY PAY REQUEST PRINTOUTS

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

s. PAYROLL DEDUCTION AUTHORIZATIONS

DISPOSITION INSTRUCTIONS: Destroy in office when employee officially terminates payroll deduction.

t. PERSONNEL ACTION FORMS

DISPOSITION INSTRUCTIONS: Retain in office permanently.

u. PERSONNEL JACKETS (INACTIVE) - PERMANENT AND TEMPORARY EMPLOYEES

DISPOSITION INSTRUCTIONS:

Transfer official copies after 5 years to the State Record Center for permanent storage.

v. POSITION CONTROL CARDS

DISPOSITION INSTRUCTIONS: Retain in office permanently.

w. POSITION DESCRIPTIONS/CLASSIFICATIONS RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

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x. POSITION HISTORY RECORDS

DISPOSITION INSTRUCTIONS: Retain in office permanently.

y. POSITION RECLASSIFICATION NOTIFICATIONS RECORDS

DISPOSITION INSTRUCTIONS: Retain in office permanently with position descriptions.

z. REFERENCE LETTERS

DISPOSITION INSTRUCTIONS: Transfer records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office records for individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

aa. RESUMES

DISPOSITION INSTRUCTIONS: Transfer records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office records for individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

bb. RETIREMENT BENEFITS, OPTIONS, FORMS, CORRESPONDENCE, AND MEMORANDUMS

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

cc. SALARY INCREMENT RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office after 6 years.

dd. SECONDARY EMPLOYMENT APPROVALS

DISPOSITION INSTRUCTIONS: Destroy in office upon termination of secondary employment.

ee. SERVICE AWARDS FORMS AND CORRESPONDENCE

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or 5 years from date of award, whichever occurs sooner.

ff. TEST REPORTS - CLERICAL OR PROFESSIONAL

DISPOSITION INSTRUCTIONS: Transfer records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office records for individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

gg. TRAINING PROGRAM RECORDS

DISPOSITION INSTRUCTIONS:

1. Destroy in office general training records after 3 years.
2. Transfer individual training records to appropriate personnel file after completion of training or upon separation of employment.

hh. VACANCY HISTORY RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

ii. VACANCY REPORTS RECORDS

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after superseded.

jj. WITHHOLDING EXEMPTION CERTIFICATES

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years or when superseded, whichever occurs later.

kk. WORK PLANNING AND PERFORMANCE REVIEW RECORDS

DISPOSITION INSTRUCTIONS: Destroy work plans in office after 3 years. Transfer performance reviews to appropriate personnel file.

STANDARD-7 PUBLIC RELATIONS RECORDS

a. AGENCY PUBLICATIONS (Created locally)

DISPOSITION INSTRUCTIONS: Retain one complete historical set in office permanently. Destroy in office remaining copies when administrative value ends but within 2 years, whichever occurs sooner.

b. AUDIO RECORDINGS

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

c. BIOGRAPHICAL DATA

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

d. HEALTH EDUCATION LITERATURE

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

e. MAILING LISTS

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

f. NEWS CLIPPINGS

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

g. NEWS RELEASES

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

h. PHOTOGRAPHS/SLIDES

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

i. PUBLIC RELATIONS CORRESPONDENCE

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

j. SPEECHES

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

k. VIDEO RECORDINGS

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

STANDARD-8 STUDENT RECORDS

- a. **RECORDS CONCERNING STUDENTS WHO ATTENDED AN APPROVED EDUCATION PROGRAM OPERATED BY A STATE FACILITY.** (Records are considered confidential in accordance with Public Law 93-380.)

DISPOSITION INSTRUCTIONS: Transfer 10 years after termination of student's enrollment to the State Records Center to be microfilmed for permanent security storage in the Archives vault. Paper records will be destroyed in the State Records Center after microfilming.

- b. **RECORDS CONCERNING STUDENTS WHO PARTICIPATE IN A PRACTICUM (e.g., Residency Training, Internship, Clinical Experience) AT A STATE FACILITY, AREA PROGRAM, OR CONTRACT AGENCY WHICH HAS BEEN DESIGNATED AS A CLINICAL SITE BY AN APPROVED EDUCATIONAL PROGRAM.** (Records are considered confidential in accordance with Public Law 93-380.)

DISPOSITION INSTRUCTIONS: Transfer after 2 years to the educational program responsible for the student.

- c. **RECORDS CONCERNING CLIENTS WHO PARTICIPATE IN AN APPROVED EDUCATIONAL PROGRAM WHICH IS LOCATED AT A STATE FACILITY, AREA PROGRAM, OR CONTRACT AGENCY.** Files are maintained in separate school records in accordance with policies of the Department of Public Instruction. (Records are considered confidential in accordance with Public Law 93-380.)

DISPOSITION INSTRUCTIONS: Transfer school records 5 years after termination of student's enrollment to the State Records Center to be microfilmed for permanent security storage in the Archives vault. Paper records will be destroyed in the State Records Center after microfilming.

STANDARD-9 MACHINE READABLE PUBLIC RECORDS

a. ELECTRONIC DATA PROCESSING AND WORD PROCESSING PUBLIC RECORDS

Master Files. Official and duplicate copies of recapitulated machine readable public records for various data and word processing systems applications operated by government agencies.

DISPOSITION INSTRUCTIONS:

1. Erase/destroy duplicate copies at the discretion of the agency.
2. Back-up by copying all official master files containing public records and store the copy at a secure, protected, off-site location such as the State Records Center. (Public records custodians should update the files periodically by erasing and exchanging the tapes or disks, etc. as necessary.)
3. Erase and/or update any electronic data processing master files containing public records which may relate to or concern an agency's budget and fiscal actions, routine office administration, personnel actions, and public relations when administrative value ends and when all local, state, and federal requirements have been fulfilled.
4. Erase and/or update word processing tapes and disks containing public records when administrative value ends, if paper output is produced, filed, and is specifically listed and scheduled in a records retention and disposition schedule that was prepared, approved, and issued by the N.C. Division of Archives and History, N.C. Department of Cultural Resources. Public records custodians with unlisted or unscheduled tapes and disks should complete and submit the "Request for Disposal of Machine Readable Records" to the Department of Cultural Resources for approval or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly-approved document all such master files containing public records.

NOTE: The erasure or destruction of any other machine readable master file containing public records which is not listed above is not authorized by this records retention and disposition schedule. Public records custodians with unlisted or unscheduled master files of no further value to the agency should either complete and submit the "Request for Disposal of Machine Readable Records" to the Department of Cultural Resources for approval of the erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly-approved document all such master files containing public records.

Processing Files. Official and duplicate copies of machine readable public records used in the preparation of or in conjunction with master files for various data and word processing systems applications operated by government agencies.

DISPOSITION INSTRUCTIONS:

1. Erase/destroy duplicate copies at the discretion of the agency.
2. Erase and/or update official copies of processing files when the final master file is created and when administrative value ends, whichever occurs later. [The Department of Cultural Resources and the Department of State Auditor recommend that processing files be retained for three (3) cycles (son, father, grandfather).]

Systems Documentation. Official and duplicate copies of machine readable data or paper documentation which are used and needed to run master or processing files.

DISPOSITION INSTRUCTIONS:

1. Erase/destroy duplicate copies at the discretion of the agency.
2. Erase and/or destroy official copies when administrative value ends except systems documentation concerning master files as described in the "NOTE" on Page 33. (Public records custodians should either complete and submit the "Request for Disposal of Machine Readable Records" to the Department of Cultural Resources for concurrence in the erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly-approved document all master file documentation.)

b. AUDIO/VIDEO TAPE PUBLIC RECORDS

Audio Tapes. Official and duplicate copies of public records recorded on various types of magnetic audio recording tape.

DISPOSITION INSTRUCTIONS:

1. Erase/destroy duplicate copies at the discretion of the agency.
2. Destroy dictation tapes containing routine correspondence, reports, etc. or tapes of telephone consents when transcribed, accepted, and approved. If not transcribed verbatim, destroy when administrative value ends but within 5 years, whichever occurs sooner.
3. Destroy audio tapes containing the proceedings of public hearing meetings when transcribed, accepted, and approved. If not transcribed verbatim, destroy when administrative and legal values end.
4. Destroy audio tapes containing the proceedings of closed hearings/ meetings when transcribed, accepted, and approved. If not transcribed verbatim, destroy when administrative and legal values end.
5. Destroy audio tapes containing public relations records and materials when administrative value ends.

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6. Destroy audio tapes containing training records and materials when administrative value ends.

NOTE: The erasure/destruction of any other audio tape containing public records pertaining to subjects and matters not listed above is not authorized by this records retention and disposition schedule. Public records custodians should either complete and submit the "Request for Disposal of Machine Readable Records" to the Department of Cultural Resources for consent to the erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly-approved document all audio tapes containing public records.

Video Tapes. Official and duplicate copies of public records recorded on various types of magnetic video recording tapes.

1. Erase/destroy duplicate tapes at the discretion of the agency.
2. Transfer video tapes containing proceedings of public hearings/ meetings to the State Records Center when administrative value ends. Records will be held for the agency in the State Records Center 2 additional years and then transferred to the custody of the Archives.
3. Destroy video tapes containing the proceedings of closed hearings/ meetings when administrative and legal values end.
4. Destroy video tapes containing records or materials pertaining to public relations when administrative value ends.
5. Destroy video tapes containing training records and materials when administrative value ends.

NOTE: The erasure/destruction of any other video tape containing public records pertaining to subjects and matters not listed above is not authorized by this records retention and disposition schedule. Public records custodians should either complete and submit the "Request for Disposal of Machine Readable Records" to the Department of Cultural Resources for consent to the erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly-approved document all video tapes containing public records.

NORTH CAROLINA DEPARTMENT OF CULTURAL RESOURCES
DIVISION OF ARCHIVES AND HISTORY, RECORDS SERVICES

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REQUEST FOR CHANGE IN RECORDS SCHEDULE

INSTRUCTIONS: Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Reproduce locally as needed, and prepare in duplicate for each change desired. Send signed original to Records Services Branch, Division of Archives and History, 109 E. Jones Street, Raleigh, NC 27611. Keep copy for your file. A proposed amendment will be prepared and submitted to the Secretaries of the Departments of Cultural Resources and Human Resources for approval. On approval signed copies of the amendment will be furnished to all parties for insertion in their copy of the schedule.

CHANGE REQUESTED (Check one)

☐ Add new item ☐ Delete existing item ☐ Change retention period

NAME OF MENTAL HEALTH FACILITY, AREA PROGRAM, OR CONTRACT AGENCY

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

SCHEDULE REFERENCE (if any)

Page Item None

INCLUSIVE DATES OF RECORDS

VOLUME OF RECORDS IN LINEAR INCHES

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

REASON FOR CHANGE

NAME, TITLE AND SIGNATURE OF REQUESTOR

TELEPHONE NUMBER

DATE

REQUEST AND APPROVAL OF UNSCHEDULED RECORDS DISPOSAL

6/1/89

Date _____

To: Assistant Records Administrator
N. C. Division of Archives and History
109 East Jones Street
Raleigh, North Carolina 27611

From:

Subject: Request for approval of the disposal of unscheduled public records

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

=====

Item No.	Record Title and Description	Inclusive Dates	Quantity	*Micro- filmed	Retention Period

*Enter "yes" or "no" if microfilmed or scheduled for microfilming.

Requested by _____
Name and Signature Title Date

Approved _____
Name and Signature Title Date

Concurred (except as indicated)

Name and Signature Title (N. C. Division of
Archives and History) Date

DCR-DAH-ARS-RS
FORM-RC-MRR-1

[Reproduce this form as needed]

REQUEST FOR DISPOSAL OF MACHINE READABLE RECORDS

Date _____

To: Assistant Records Administrator
Records Services Branch
State Records Center Building

From:

Subject: Request for approval to dispose of machine readable records and applicable documentation.

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of the records listed below. These records have no further use or value for official or administrative purposes.

Type or Print Legibly - - - - - Need Help: Call 733-3540 - - - - - Ask for State Records Analyst

Title and Description of Records	Inclusive Dates	Number of		Master (M) or Processing (P) Files		Present Retention Period
		Tapes	Disks	M	P	
Requestor's Signature and Telephone Number	Title					Date
Signature of approving Agency Official	Title					Date

FOR DEPARTMENT OF CULTURAL RESOURCES USE ONLY

<input type="checkbox"/> Concur		
<input type="checkbox"/> Do Not Concur, Explanation Attached		
Name and Signature	Title	Date
NC Division of Archives & History		

